



Application No.: 09/887540

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING  
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☐ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☒ 7. Other: sequence in Figs 3A-3B does not have  
SEQ ID NO.

*if necessary*

**Applicant Must Provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

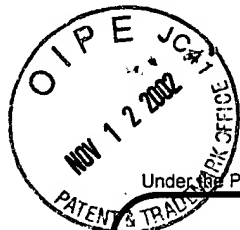
For PatentIn software help, call (703) 308-6856

**PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR RESPONSE**

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/887,540
Filing Date	June 21, 2001
First Named Inventor	KLEIN
Group Art Unit	1632
Examiner Name	WILSON, Michael C.
Attorney Docket Number	R-193

Total Number of Pages in This Submission **13**

## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☒ Amendment/~~Reply~~ Preliminary
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☒ Drawing(s) new Fig. 3B
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):

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### Remarks

Response to Restriction Requirement dated 10/2/02  
Response to Notice to Comply w/ Requirements for Applications Containing Nucleotide Sequence Disclosures dated 10/2/02 and Copy of Notice

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Mariette A. Lapiz, Reg. No. 44,202
Signature	<i>Mariette A. Lapiz</i>
Date	11/01/02

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 11/1/02

Typed or printed name	Deborah A. Mojarro
Signature	<i>Deborah A. Mojarro</i>
Date	11/1/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Robert KLEIN

Group Art Unit: 1632

Serial No.: 09/887,540

Examiner: Wilson, Michael C.

Filed: June 21, 2001

Attorney Docket No.: R-193

For: TRANSGENIC MICE CONTAINING LRP5 GENE DISRUPTIONS

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**RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT  
APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID  
SEQUENCE DISCLOSURES**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to Comply With Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures mailed October 2, 2002 regarding the above-captioned application, Applicants submit herewith:

1. A Preliminary Amendment under 37 C.F.R. §1.115 with an amendment to Figure 3B of the above-referenced application;
2. A copy of the Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures mailed October 2, 2002.

The Sequence Listing submitted on December 19, 2001, in computer readable format (CRF) and paper, contains all sequences disclosed in the application. Therefore, Applicants believe that a substitute Sequence Listing in CRF is not required. Moreover, the content of the paper and computer readable copies of the Sequence Listing submitted on July 1, 2002 are identical. The sequence listing submitted in this application merely presents nucleotide and/or amino acid sequences that appeared in the application as originally filed in accordance with 37 C.F.R. §1.821-1.825, thus no new matter has been introduced into the application.

Accordingly, Applicants respectfully request the entry of the paper and computer readable forms of the sequence listing into the application.

Respectfully submitted,

Date: 11/01/02

Mariette A. Lapiz  
Mariette A. Lapiz, Reg. No. 44,202

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Enclosures

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8**

I hereby certify that this correspondence and its listed enclosures is being deposited with the United States Postal Service as First Class Mail, postage paid, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, Box NF Amendment on **November 1, 2002**.

Name: **Deborah A. Mojarro**

Signed: *Deborah A. Mojarro*

Date: 11/1/02